



09-08-04

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PATENTS
CF-77

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Stephen M. Drummond
Application No. : 10/824,954 Confirmation No. : 7464
Filed : April 14, 2004
For : SYSTEMS AND METHODS FOR TRADING EMISSION
REDUCTION BENEFITS

Group Art Unit : 3624

Hon. Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

EXPRESS MAIL CERTIFICATION

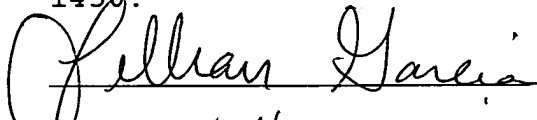
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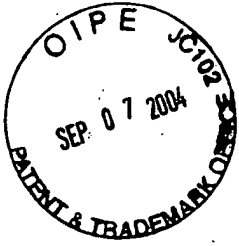
Date of Deposit: September 7, 2004

I hereby certify that this certification and the
following papers:

1. Transmittal Letter for Information Disclosure Statement (in duplicate);
2. Information Disclosure Statement;
3. Form PTO-1449 (in duplicate); and
4. Copy of eighty-seven (87) documents

are being deposited with the United States Postal Service
"Express Mail Post Office to Addressee" service under 37 C.F.R.
§ 1.10 on the date indicated above and are addressed to Hon.
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-
1450.


Name: Lillian Garcia



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P.O. Box 1450
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TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure Statement in the above-identified application. This Statement is submitted more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director of the U.S. Patent and Trademark

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Office is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,



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INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,
applicant wishes to call the attention of the Examiner to the
following documents:

U.S. Patent Documents

4,412,287	Braddock, III	10/25/1983
4,674,044	Kalmus et al.	06/16/1987
4,677,552	Sibley, Jr.	06/30/1987
4,903,201	Wagner	02/20/1990
5,101,353	Lupien et al.	03/31/1992
5,126,936	Champion et al.	06/30/1992
5,715,402	Popolo	02/03/1998
5,799,151	Hoffer	08/25/1998
5,905,975	Ausubel	05/18/1999
6,021,398	Ausubel	02/01/2000
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6,058,379	Odom et al.	05/02/2000
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6,161,099	Harrington et al.	12/12/2000
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6,243,691	Fisher et al.	06/05/2001
6,285,989	Shoham	09/04/2001
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2001/0049651	Selleck	12/06/2001
2002/0143693	Soetsbergen et al.	10/03/2002
2002/0188459	Erickson	12/12/2002
2003/0083980	Satake	05/01/2003
6,601,033	Sowinski	07/29/2003

Foreign Patent Documents

PCT	WO 98/49639	11/05/1998
PCT	WO 02/037433	05/10/2002

Other Documents

"The world's first markets for trading emissions credits . . . ," Dow Jones Business News, October 17, 2000.

"Cantor Fitzgerald and PricewaterhouseCoopers to Create Global Hub of Carbon Commerce: Market to be Powered by B2B Leader, eSpeed," Press Release, October 17, 2000.

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"CSU Study to Examine Carbon Sequestration," CSU-Chico Release, October 23, 2000 as published by EIN Publishing Daily Newsletter "Global Warming Today," dated October 26, 2000.

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Nick Hordern, "Global warming: the greens have the numbers," Financial Review (UK), November 25, 2000.

Nick Hordern, "Industry breathes easier, for now," Australian Financial Review, November 27, 2000.

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"Online trading - emissions," European Chemical News, November 27, 2000.

Wade O'Leary, "Online greenies - Bottom of the Harbour," The Daily Telegraph, November 27, 2000.

"E-exchanges continue to trade pollution allowances," <http://www.silicon.com>, November 28, 2000.

"Global law firm Baker & McKenzie . . . ," AAP News Feed, November 28, 2000.

Caspar Henderson, "An exchange in climate," Director, January 2001.

"EU maps out CO₂ strategy," Steel Times, March 2001.

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Laurent Belsie, "Firms climb toward 'climate neutral' Boldest bids to cut emissions now being led by some big polluters of yore," Christian Science Monitor, August 20, 2001.

"Greenhouse Gas Trading Simulations an Essential Tool," Carbon Monitor, Volume 6, Issue 9, September 2001.

"The Climate for Business is Changing," Environmental Finance Supplement, October 2001.

Ron Feemster, "Don't like emissions? Trade 'em under Kyoto," undated.

These documents are listed on the accompanying Form PTO-1449 (submitted in duplicate) and copies are enclosed herewith.

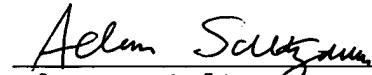
Applicant reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

It is respectfully requested that these documents be: (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent which may issue on this application. Applicant requests that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

This Statement is submitted more than three months from the application filing date but before the mailing date of the first Office Action on the merits. In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

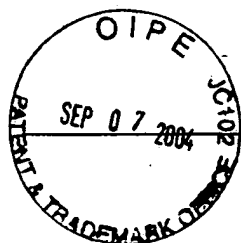
Consideration of the foregoing in relation to this
patent application is respectfully requested.

Respectfully submitted,



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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
CF-77APPLICATION NO.
10/824,954INFORMATION DISCLOSURE
STATEMENT BY APPLICANTAPPLICANT
Stephen M. DrummondCONFIRMATION NO.
7464FILING DATE
April 14, 2004GROUP
3624

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4,412,287	10/25/1983	Braddock, III	364	408	
	4,674,044	06/16/1987	Kalmus et al.	364	408	
	4,677,552	06/30/1987	Sibley, Jr.	364	408	
	4,903,201	02/20/1990	Wagner	364	408	
	5,101,353	03/31/1992	Lupien et al.	364	408	
	5,126,936	06/30/1992	Champion et al.	364	408	
	5,715,402	02/03/1998	Popolo	395	237	
	5,799,151	8/25/1998	Hoffer	709	204	
	5,905,975	05/18/1999	Ausubel	705	37	
	6,021,398	02/01/2000	Ausubel	705	37	
	6,047,274	04/04/2000	Johnson et al.	705	412	
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	6,115,698	09/05/2000	Tuck et al.	705	37	
	6,161,099	12/12/2000	Harrington et al.	705	37	
	6,233,566	05/15/2001	Levine et al.	705	37	
	6,243,691	06/05/2001	Fisher et al.	705	37	
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	2002/0188459	12/12/2002	Erickson	705	1	
	2003/0083980	05/01/2003	Satake	705	37	
	6,601,033	07/29/2003	Sowinski	705	1	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT	ATTY. DOCKET NO. CF-77	APPLICATION NO. 10/824,954
	APPLICANT Stephen M. Drummond	CONFIRMATION NO. 7464
	FILING DATE April 14, 2004	GROUP 3624

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 98/49639	11/05/1998	PCT	G06F	17/60		
	WO 02/037433	05/10/2002	PCT	G06F	17/60		

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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